

CHAPTER 3

FORDTIS REPORTING - INPUTS AND OUTPUTS

A. PURPOSE

This chapter describes the procedures and responsibilities for reporting information to FORDTIS (inputs), the procedures for obtaining information from FORDTIS (outputs), and the output report formats. FORDTIS supports two related DoD programs, Foreign Disclosure and Technology Transfer. You should refer to DoD Directive 5230.11 (reference (e)) and DoD Directive 2040.2 (reference (f)) for policies and responsibilities for the operation of these programs.

B. REPORTING INFORMATION TO FORDTIS (DATA INPUT)

1. General. Information is reported to FORDTIS by creation of new cases on a FORDTIS interactive terminal and by submission of an optical character recognition (OCR) form (DD Form 1822, "Report of Disclosure or Denial of U.S. Classified Military Information"), a method for reporting CMI cases in addition to data input at a terminal. To ensure that the required reporting is accomplished and to maintain the quality of information in the data bases, one or more DBAs have been appointed for each case type in DoD Instruction 5230.18 (reference (g)). This section gives an overview of the reporting requirements for the CMI, NDPE, munitions, CCL, and COCOM data bases.

2. CMI Data Bases. CMI cases are created in two ways: by direct data input at a FORDTIS terminal or by input to an OCR device using DD Form 1822. Use of the DD Form 1822 is covered in Chapter 4. Any activity having a disclosure authority for CMI may create a CMI case using either of the methods available. Once the case is created, it must be reviewed by a designated CMI DBA before it is placed in the Historical data base.

3. NDPE Data Base. All NDPE cases are created interactively on FORDTIS by the ODUSD(P)/CSP, based on requests received from NDPC members for exceptions to the NDP and those referred directly to the Secretary or Deputy Secretary of Defense for decision. The final case is based on the Record of Action issued by the NDPC. ODUSD(P)/CSP, as the NDPE DBA, controls all NDPE cases placed in the Historical data base.

4. Munitions Data Base. All munitions cases are created interactively on FORDTIS by the Munitions Control Directorate, ODASD(IETSP), based on export license applications received for comment from the DoS. The Munitions Control Directorate develops the final case based on staffing comments and, as the Munitions DBA, controls all munitions cases placed in the Historical data base.

5. CCL Data Bases. All CCL cases are created interactively on FORDTIS by the STP Directorate, ODASD(IETSP) , based on export license applications received for comment from the DoC. The STP Directorate develops the final case based on staffing comments, and, as the CCL DBA, controls CCL cases placed in the Historical data base.

6. COCOM Data Base. All COCOM cases are created interactively on FORDTIS by the STP Directorate, ODASD(IETSP) , based on information received from the DoS. The STP Directorate develops the final case based on staffing comments, and, as the COCOM DBA, controls all COCOM cases placed in the Historical data base.

c. FORDTIS REPORTS (DATA OUTPUT)

Information is available from FORDTIS either at an interactive terminal or by printed FORDTIS case reports. This section describes FORDTIS case reports and the procedures for requesting these reports.

1. Output Report Formats. FORDTIS case reports have been developed for each of the functional data bases based on the information needs most frequently associated with the data base. The report formats are shown in Appendix D, figures D-1 . (CMI) , D-2. (NDPE), D-3. (munitions), D-4. (CCL), and D-5. (COCOM). Accompanying each report format is an explanation of the individual data elements in the report. FORDTIS has considerable flexibility in extracting specific reports from the data bases. Subsection C.3., below, gives procedures and examples for defining information requirements when requesting reports.

2. Requests for Reports. Activities having a requirement for FORDTIS data are encouraged to request FORDTIS case reports. You may call the FORDTIS office to discuss your requirements or forward requirements directly to the FORDTIS office= Reports that meet your selection criteria may be produced on a periodic basis, for example, once a month or once a quarter, or on a one-time basis depending on need. Send your requests for reports to:

Office of the Secretary of Defense
ODUSD(P)/CSP
AT TN: FORDTIS Office
Washington, D.C. 20301-2200

or telephone: Autovon - 227-3384
Commercial - (202) 697-3384

3. Defining Report Selection

a. You may request reports using one or more of the data elements on the Reports Formats and Data Element Descriptions (Appendix D) as the search criteria. Although any data element may be used for searching, those that consist of free text usually

will not return satisfactory results, unless you know that there are specific words in the text that can be used as text search criteria. It is helpful to state a requirement in the form of a question such as, "What classified information has been disclosed to Italy on the BASIC TOW Missile System since March 15, 1982?" Then, refer to the keyword list and the report formats for the data elements that can best satisfy the requirement. The question given as an example would have the following search criteria:

DATA BASE: CMI

REQUESTING COUNTRY: Italy

KEYWORD: BGM-71 A

DATE OUT: > (greater than) 14/03/82

DoD POSITION: Approve and approve with conditions

This type of search would result in a one-time data output consisting of all case reports that met the search criteria. Another example is, "What munitions cases for F-16s were coordinated by Air Force during the first quarter of 1985?" This would have the following search criteria:

DATA BASE: MUN

AGENCY: DF

KEYWORD: F-16

DATE OUT: 01/01/85 THROUGH 31/03/85

This search would result in a data output consisting of case reports of all munitions cases for F-16s, which were released from January through March 1985, that show Air Force as a coordinating agency. This could be a quarterly report. Once established, this report would be prepared and forwarded at the end of each reporting period until terminated by the requester. If you have trouble defining your requirement satisfactorily, call the FORDTIS office for assistance.

b. There are two data elements that are not in the case reports that you can include as criteria in your report request. They are "KEYWORD" and "AGENCY POSITION."

(1) Keyword. FORDTIS keywords are contained in the FORDTIS keyword list that may be obtained from the FORDTIS office. Each case contains from 1 to 25 keywords that characterize the case according to the keyword hierarchy. Including keywords in the search criteria allows for the return of all cases containing one or more of the keywords in your list and those that are consistent with other search criteria. Keywords are arranged in an

hierarchy from general to specific; for example, (a) AIRCRAFT, (b) FIGHTER AIRCRAFT, (c) F-4, and (d) F-4E. When using a keyword to search, FORDTIS will identify all cases having the specified keyword and all cases having a lower tier keyword under the keyword selected. For this reason, the keywords selected should be at the lowest tier of the hierarchy that meet your requirement. Also, there is no need to include keywords lower in the hierarchy than your selected keywords, since they will be included automatically.

(2) Agency and Agency Position. This series of data elements contains the agency name and the position of all DoD activities that were included in the coordination process on a case. The agency codes are listed in Appendix A, Table 4, and the position codes are in Appendix A, Table 6. Searches against these data elements can include criteria such as "All cases that Army objected to," or "All cases that Navy approved."

c* Other Selection Criteria

(1) Ranges of Data Element Values. Searches against numeric data elements can be expressed as a range of values. The numeric data elements include, for example, DATE, VALUE, and QUANTITY. Search criteria against these data elements can be expressed as "equal to," "greater than," "less than," or as a range of "value 1" through "value 2." This capability most often is used with dates, for example, "All cases with KEYWORD 'F-4' and with a DATEOUT between 01/01/84 and 22/03/84," or "with a DATEOUT after (greater than) 22/03/84."

(2) Open/Closed Case Flag. Open cases are those that are currently in staffing in the Department of Defense. Closed cases are those whose staffing is complete and a decision has been made on the case. You may specify as one of the search criteria that only open or only closed cases be included in the output or that both types be included. If you do not specify these criteria in your request, then only closed cases shall be included. You should note that case reports for open cases often will contain only basic case identification data and case description. You should not take any related action, such as approval of a visit request or release of a document, based on an open case. Only closed cases contain the final DoD case decision and related guidance.

(3) Statistical and Status Reports. Several statistical and status reports are available from the FORDTIS office. These reports are developed to meet specific management requirements to show work load, general productivity, and for suspense management. Reports of this type may be useful to you either in their current format or tailored to your specific needs. If you have a requirement for statistical reports, you should contact the FORDTIS office and discuss your requirement to determine if an existing report is satisfactory or if a new report needs to be developed.